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Jolene Crosby  
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65431 U.S. PTO

08/868200

06/03/97

Case No. 8406/4

## PATENT APPLICATION TRANSMITTAL LETTER

To the Assistant Commissioner for Patents:

Transmitted herewith for filing is the patent application of: Howard B. Garber for: System and Method for Trading Having a Principal Market Maker. Enclosed are:

- ☒ 10 sheet(s) of drawings, 25 pages of application (including title page), and the following Appendices : \_\_\_\_\_
- ☒ Declaration.
- ☒ Power of Attorney.
- ☒ Verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27.
- ☐ Assignment transmittal letter and Assignment of the invention to : \_\_\_\_\_

Claims as Filed	Col. 1	Col. 2
For	No. Filed	No. Extra
Basic Fee		
Total Claims	51-20	31
Indep. Claims	12-3	9
Multiple Dependent Claims Present		

\*If the difference in col. 1 is less than zero, enter "0" in col. 2.

Small Entity		or	Other Than Small Entity	
Rate	Fee		Rate	Fee
	\$ 385	or		\$ 770
x\$11=	\$341	or	x\$22=	\$
x\$40=	\$360	or	x\$80=	\$
+\$130=	\$	or	+\$260=	\$
Total	\$1086	or	Total	\$

- ☐ Please charge my Deposit Account No. 23-1925 in the amount of \$: \_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$: 1086 to cover the filing fee is enclosed.
- ☒ The Assistant Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 CFR § 1.16.
- ☒ Any patent application processing fees under 37 CFR § 1.17.
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- ☐ Any filing fees under 37 CFR § 1.16 for presentation of extra claims.
- ☐ Any patent application processing fees under 37 CFR § 1.17.
- ☐ The issue fee set in 37 CFR § 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR § 1.311(b).

Date

Lalita P. Williams

Registration No. 39,427